



# DEPARTMENT OF CORPORATIONS

## JOB OPPORTUNITY

**Arnold Schwarzenegger, Governor**

**WILLIAM P. WOOD, California Corporations Commissioner**

**SUNNE WRIGHT MCPEAK, Agency Secretary**

**Release Date:** March 29, 2005

**CLASSIFICATION:** **CORPORATION EXAMINER**  
Will consider **AUDITOR I**  
2 Position - Permanent/Full Time - Los Angeles

**FINAL FILING DATE:** **UNTIL FILLED**

**SALARY:** \$3746 - \$5229 per month  
If Auditor I selected for vacancy, the salary is \$3529 per month

**POSITION LOCATION:** Securities Regulation Division  
320 West Fourth Street, Los Angeles

**DUTIES AND RESPONSIBILITIES** – The Securities Regulations Division (SRD) is responsible for the regulation of the offer and sale of securities in the State of California and the licensing and regulation of securities professionals, Capital Access Companies, Broker-Dealers, Broker-Dealer Agents, Investment Advisers and Investment Advisory Representatives. The Corporation's Examiner conducts independent field examinations or investigations of licensed capital access companies, broker-dealer and investment advisers to verify compliance with the California Corporate Securities Law of 1968 and Title 10, Chapter 3 of the California Code of Regulations. Intrastate travel is required. Examinations consist of a review of licensees' financial statements, books and records, investments and capital position to determine soundness of its financial condition, and a review of sale practices to determine whether a licensee is fulfilling its fiduciary responsibilities to clients.

**DESIRABLE QUALIFICATIONS**

- ◆ Auditing experience.
- ◆ Accounting knowledge.
- ◆ Knowledge of rules and regulations administered by the Securities Regulation Division.
- ◆ Knowledge of personal computers and familiarity of Microsoft Word, Excel and other computer programs.
- ◆ Works well under pressure.
- ◆ Effective communication skills.
- ◆ Good interpersonal skills.
- ◆ Willingness to travel (Intrastate).
- ◆ Willingness to accept additional responsibility.
- ◆ Effective writing skills.

**WHO MAY APPLY** – DOC EMPLOYEES WHO ARE CURRENTLY AT THE CORPORATIONS EXAMINER OR AUDITOR I LEVEL, THOSE WITHIN TRANSFER RANGE, OR INDIVIDUALS WITH LIST ELIGIBILITY WHO ARE REACHABLE IN THE TOP THREE RANKS, AND EMPLOYEES WITH SURPLUS OR SROA STATUS IN THESE CLASSIFICATIONS ARE ENCOURAGED TO APPLY. For further technical information regarding the position, please contact Maurice Kahmi at (213) 576-7587 or CALNET 8-649-7587. **PLEASE SEND A COMPLETED APPLICATION TO THE PERSON AND ADDRESS PROVIDED BELOW.** (Please include your social security number for eligibility verification and indicate **RPA #CE-LA-SRD** under the job title).

**SUBMIT APPLICATION AND RESUME TO:**

Department of Corporations  
Human Resources Office  
Attention: Kiley Hanchen (#CE-LA-SRD)  
1515 K Street, Suite 200  
Sacramento, CA 95814  
(916) 327-8914 or CALNET 8-467-8914

**RPA #CE-LA-SRD DN**

AN EQUAL OPPORTUNITY EMPLOYER - EQUAL OPPORTUNITY TO ALL REGARDLESS OF RACE, COLOR, CREED, NATIONAL ORIGIN, ANCESTRY, SEX, MARITAL STATUS, DISABILITY, RELIGIOUS OR POLITICAL AFFILIATION, AGE OR SEXUAL ORIENTATION.